

PATENT

Attorney Docket No. MTI-31476

#11  
Suppl. IDS  
5/22/03

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Lingyi A. Zheng  
Serial No. : 09/912,041  
Filing Date : July 24, 2001  
For : Improved Cell Nitride Nucleation on Insulative Layers and  
Reduced Corner Leakage of Container Capacitors  
Group Art Unit : 2812  
Examiner : KENNEDY, Jennifer M.  
Confirmation No. : 4539

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**CERTIFICATION UNDER 37 CFR 1.8(a) and 1.10**

I hereby certify that, on the date shown below, this correspondence is being:

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☒ deposited with the United States Postal Service in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231

37 CFR 1.8(a)

37 CFR 1.10

☐ with sufficient postage as first class mail ☒ As "Express Mail Post Office to Addressee" Mailing Label No. EV 326236894 US

**Transmission**

☐ transmitted by facsimile to Examiner \_\_\_ at \_\_\_ at the US Patent and Trademark Office.

Date: 5.13.03

Assistant Commissioner for Patents  
Washington, D.C. 20231

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Sir:

Pursuant to 37 C.F.R. §§ 1.56 and 1.97, the Applicant submits the information listed on the enclosed Substitute for Form 1449/PTO for consideration in the above-identified application. No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103.

The reference listed on the enclosed Form 1449/PTO were previously listed on Form PTO-892 of USSH 10/225,913, which is a divisional of the present application. A copy of this document is not provided because these documents are available in the divisional application. However, if these copies are not available to the Examiner, Applicant will provide a copy upon request.

This Statement is being filed after the mailing of a first action on the merits and before the mailing of a notice of allowance under §1.113. Enclosed is a check to cover the fee set forth

05/15/2003 CNGUYEN 00000021 09912041

01 FC:1806

180.00 OP

MKE/844230.1

Serial No. 09/912,041

Supplemental IDS

in § 1.17(p) (\$180.00) due for consideration of the listed items. Please charge any additional fee that is necessary to Account No. 23-2053.

Return of the enclosed Form 1449/PTO in the next communication to Applicant, showing the citations as initialed and considered, is respectfully requested.

Respectfully submitted,



Kristine M. Strodthoff  
Reg. No. 34,259

Dated: May 13, 2003

WHYTE HIRSCHBOECK DUDEK S.C.  
111 East Wisconsin Avenue, Suite 2100  
Milwaukee, Wisconsin 53202  
(414) 273-2100

Customer No. 31870



5-143

2812

PATENT

Attorney Docket No. MTI-31470

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of : Lingyi A. Zheng  
Serial No. : 09/912,041  
Filing Date : July 24, 2001  
For : Cell Nitride Nucleation on Insulative Layers and Reduced Corner Leakage of Container Capacitors  
Group Art Unit : 2812  
Examiner : KENNEDY, Jennifer M.  
Confirmation No. : 4539

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**37 CFR 1.8(a)**

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**Transmission**

- ☐ transmitted by facsimile to Examiner \_\_\_\_ at \_\_\_\_ at the US Patent and Trademark Office.

Date: 5.13.03

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

**TRANSMITTAL**

1. Transmitted herewith is:

Response

Supplemental IDS with (substitute) Form 1449/PTO

Check in the amount of \$180.00 (IDS fees)

Copy of IDS submitted October 5, 2001, January 25, 2002, and January 15, 2003, and list of references (Form 1449)

Return Postcard

**STATUS**

2. Applicant is a large entity.

**EXTENSION OF TERM**

3. The proceedings herein are for a patent application and the provisions of 37 CFR 1.136 apply.

☒ **Applicant believes that no extension of term is required. However, if an extension of time is required, please consider this a petition therefor.**

☐ Applicant petitions for an extension of time under 37 C.F.R. ' 1.136 for the total number of months checked below [fees: 37 C.F.R. ' 1.17(a)(1)-(4)] :

Extension (months)	Fee for other than <u>small entity</u>	Fee for <u>small entity</u>
<input type="checkbox"/> one month	\$ 110.00	\$ 55.00
<input type="checkbox"/> two months	\$ 390.00	\$ 195.00
<input type="checkbox"/> three months	\$ 890.00	\$ 445.00
<input type="checkbox"/> four months	\$ 1,390.00	\$ 695.00
		Fee: <u>\$0.00</u>

If an additional extension of time is required, please consider this a petition therefor.

**FEE FOR CLAIMS**

4. The fee for claims (37 C.F.R. 1.16(b)-(d)) has been calculated as shown below:

Claims Remaining After Amendment		Highest No. Previously Paid For		Rate (Small Entity)	Additional Fee or	Rate (Large Entity)	Additional Fee
Total 103	Minus	103	=	x 9= \$	\$	0 x 18	\$
Independent 24	Minus	24	=	x 39= \$	\$	0 x 84	\$

**FIRST PRESENTATION OF MULTIPLE DEP CLAIM**

TOTAL  
ADDIT. Fee \$

or TOTAL  
ADDIT. Fee \$

c. ☒ **No additional fee for claims is required.**

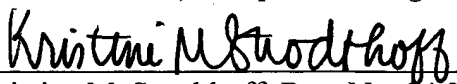
d. ☐ Total additional fee for claims required \$

**FEE DEFICIENCY**

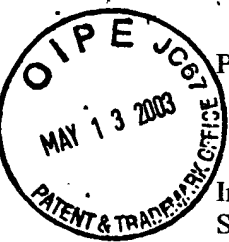
5. ☒ **If any additional extension and/or fee is required, charge Account No. 23-2053.**

☒ **If any additional fee for claims (or for submission of IDS) is required, charge Account No. 23-2053.**

Date: \_\_\_\_\_, 2003

  
Kristine M. Strodthoff, Reg. No. 34,259

Whyte Hirschboeck Dudek S.C.  
111 East Wisconsin Avenue, Suite 2100  
Milwaukee, WI 53202  
(414) 273-2100  
Customer No. 31870



Patent

Attorney Docket No.: MTI-31470

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : Zheng, Lingyi A.  
Serial No. : 09/912,041  
Confirmation No. : 4539  
Filing Date : July 24, 2001  
For: : Improved Cell Nitride Nucleation on Insulative Layers and  
Reduced Corner Leakage of Container Capacitors

**COPY**

**CERTIFICATION UNDER 37 CFR 1.8(a) and 1.10**

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☒ 37 CFR 1.8(a)  
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☐ 37 CFR 1.10  
As "Express Mail Post Office to Addressee" Mailing Label No.

**Transmission**

☐ transmitted by facsimile to Fax No.: addressed to Examiner at the Patent and Trademark Office.

Date: October 5, 2001

J. R. Houck

Assistant Commissioner for Patents  
Washington, D.C. 20231

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97/98**

In compliance with Applicant's duty of disclosure as set forth in 37 C.F.R. §1.56, listed on the attached equivalent to Form PTO-1449 are those patents and other publications known to the Applicant which may be considered material to the patentability of the claims of the above-captioned application.

The Applicant respectfully requests that the documents listed on the attached equivalent to Form PTO-1449 be considered by the Examiner, that these references be made of record in the present applicant, and that an initialed copy of the attached equivalent to Form PTO-1449 be returned to the undersigned in accordance with MPEP 609.

Respectfully submitted,

Kristine M. Strodthoff

Kristine M. Strodthoff  
Registration No. 34259

Dated: October 5, 2001

**P.O. ADDRESS:**

WHYTE HIRSCHBOECK DUDEK S.C.  
111 East Wisconsin Avenue, Suite 2100  
Milwaukee, Wisconsin 53202  
(414) 273-2100  
Customer No.: 022202

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U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE Washington, D.C. 20231  <b>INFORMATION DISCLOSURE          STATEMENT BY APPLICANT</b>	ATTY. DOCKET NO.	Serial No.
	MTI-31470	09/912,041
	Applicant	Confirmation No.
	Zheng, Lingyi A.	4539
	Filing Date	Group Art Unit
	July 24, 2001	2815

**COPY**

### U.S. PATENT DOCUMENTS

		Patent Number	Issue Date	Patentee	U.S. Class	Sub-Class	Filing Date
	A1	6,235,571	05-22-01	Doan	438	240	03-31-99
	A2	5,445,999	08-29-95	Thakur et al.	437	242	11-13-92
	A3						
	A4						
	A5						
	A6						

### FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION

Examiner Initial		Document Number	Publication Date	Country	Int'l Class	Sub-Class	Translation (Yes/No)
	B1						

### OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)

Examiner Initial		Non-Patent Document
	C1	

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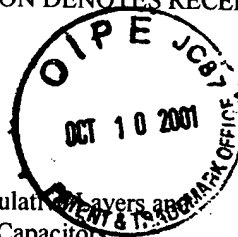
Examiner Initials	Date Considered
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



OCT 17 2001

THE STAMP OF THE U.S. PATENT OFFICE HEREON DENOTES RECEIPT  
ON THE DATE STAMPED OF:

In re Application of : Zheng, Lingyi A.  
Serial No. : 09/912,041  
Confirmation No. : 4539  
Filing Date : July 24, 2001  
For : Improved Cell Nitride Nucleation on Insulating Layers and  
Reduced Corner Leakage of Container Capacitors  
Atty. Docket No. : MTI-31470



**Information Disclosure Statement**

Enclosures: Information Disclosure Statement Transmittal; PTO-1449; two (2)  
references and return postcard.

DATE MAILED: October 5, 2001  
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DOCKET BY bs 10/18/2001

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Patent

Attorney Docket No.: MTI-31470

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Zheng, Lingyi A.

Examiner: KENNEDY, Jennifer M.

Serial No. : 09/912,041

Group Art Unit: 2812

Filing Date : July 24, 2001

Confirmation No.: 4539

For : Improved Cell Nitride Nucleation on Insulative Layers and Reduced Corner Leakage of Container Capacitors

CERTIFICATION UNDER 37 CFR 1.8(a) and 1.10

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37 CFR 1.8(a)

37 CFR 1.10

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Transmission

☐ transmitted by facsimile to Fax No. : addressed to Examiner at the Patent and Trademark Office.

Date: 1/15/03

Assistant Commissioner for Patents  
Washington, D.C. 20231

SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT

Sir:

In compliance with Applicant's duty of disclosure as set forth in 37 C.F.R. §1.56, listed on the attached equivalent Form PTO-1449 are those patents and other publications known to Applicant that may be considered material to the patentability of the claims of the above-identified application.

Applicant respectfully requests that the documents listed on Form PTO-1449 be considered by the Examiner, that these references be made of record in the present applicant, and that an initialed copy of the attached Form PTO-1449 be returned to the undersigned in accordance with MPEP 609. No fee is due for consideration of these items because this statement is submitted prior to the issuance of an Office Action on the merits.

Dated: January 15, 2003

WHYTE HIRSCHBOECK DUDEK S.C.  
111 East Wisconsin Avenue, Suite 2100  
Milwaukee, Wisconsin 53202  
(414) 273-2100

Customer No.: 022202

Respectfully submitted,

Kristine M. Strodthoff  
Kristine M. Strodthoff  
Registration No. 34259

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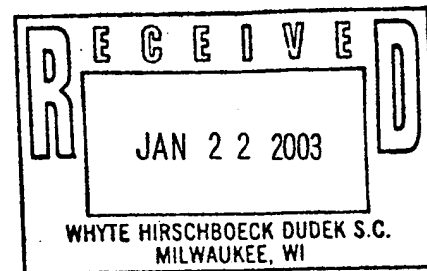
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DENOTES RECEIPT ON THE DATE STAMPED OF:

In re Application of: Zheng, Lingyi A.  
Serial No.: 09/912,041  
Filing Date: July 24, 2001  
For: Improved Cell Nitride Nucleation on Insulative  
Layers and Reduced Corner Leakage of Container  
Capacitors  
Group Art Unit: 2812  
Examiner: KENNEDY Jennifer M.  
Atty. Docket No.: MTI-31470



Enclosures: Supplemental IDS, Form 1449, copy of reference and Return  
Postcard.

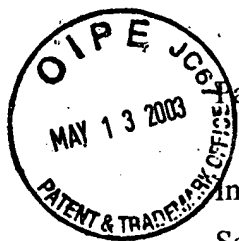
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Attorney Docket No.: MTI-31470

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In re Application of : Zheng, Lingyi A.

Serial No. : 09/912,041

Confirmation No. : 4539

Filing Date : July 24, 2001

For: Improved Cell Nitride Nucleation on Insulative Layers and Reduced Corner Leakage of Container Capacitors

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**37 CFR 1.8(a)**

**37 CFR 1.10**

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**Transmission**

- ☐ transmitted by facsimile to Fax No.: addressed to Examiner at the Patent and Trademark Office.

Date: 1/25, 2002

Assistant Commissioner for Patents  
Washington, D.C. 20231

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**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

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Respectfully submitted,

Kristine M. Strodthoff  
Registration No. 34259

Dated: January 25, 2002

**P.O. ADDRESS:**

WHYTE HIRSCHBOECK DUDEK S.C.  
111 East Wisconsin Avenue, Suite 2100  
Milwaukee, Wisconsin 53202  
(414) 273-2100  
Customer No.: 022202

 <p>U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE Washington, D.C. 20231</p> <p><b>SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT BY APPLICANT</b></p>	ATTY. DOCKET NO.	Serial No.
	MTI-31470	09/912,041
	Applicant	Confirmation No.
	Zheng, Lingyi A.	4539
Filing Date	Group Art Unit	
July 24, 2001	2815	

**COPY****U.S. PATENT DOCUMENTS**

		Patent Number	Issue Date	Patentee	U.S. Class	Sub-Class	Filing Date
	A1	4,963,506	10-16-90	Liaw et al.	437	101	04-24-89
	A2	5,663,087	09-1997	Yokozawa	438	762	
	A3	5,882,978	03-16-99	Srinivasan et al.	438	396	04-22-97
	A4	5,939,333	08-17-99	Hurley et al.	438	241	05-30-96
	A5	5,981,404	11-1999	Sheng et al.	438	791	
	A6	6,077,754	06-20-00	Srinivasan et al.	438	396	02-05-98
	A7	6,147,013	11-2001	Sun et al.	438	791	
	A8	6,171,977	01-2001	Kasai et al.	438	775	
	A9	6,258,690	07-2001	Zenke	438	296	
	A10	6,268,299	07-2001	Jammy et al.	438	791	
	A11	6,284,583	09-2001	Saida et al.	438	216	

**FOREIGN PATENT OR PUBLISHED FOREIGN PATENT APPLICATION**

Examiner Initial	Document Number	Publication Date	Country	Int'l Class	Sub-Class	Translation (Yes/No)
	B1					

**OTHER DOCUMENTS (Including Author, Title, Date, Relevant Pages, Place of Publication)**

Examiner Initial	Non-Patent Document
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Examiner Initials	Date Considered
EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.	



FEB - 6 2002

WILLIAMSON DECK EMBLA S.C.  
BETHLEHEM, PA

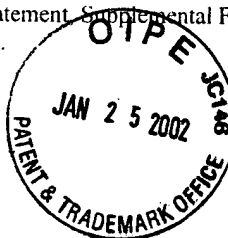
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Container Capacitors  
Atty. Docket No. : MTI-31470

**SUPPLEMENTAL INFORMATION DISCLOSURE STATEMENT**

Enclosures: Supplemental Information Disclosure Statement, Supplemental Form 1449,  
cited references Transmittal Form and return postcard.

DATE MAILED: January 25 2002  
VIA EXPRESS MAIL: EL810082916US



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